FY 2002 Annual Report Budget Application User's Guide

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Getting Help

Help with each budget table:

- Click on the yellow question mark at the top of each budget table to get context-sensitive help

Via Email and Telephone

- Technical questions about the Budget Application should be addressed to arApp@cdie.usaid.gov. Or you can call 703-351-4006 8:30 AM to 4:00 PM EST.
- Questions about how to report budget data should be sent to Parrie Henderson-O'keefe, PPC/PC, at phenderson@usaid.gov.

Via the Internet

- CDIE also provides technical support online at http://cdie.usaid.gov/ar. Check the "Frequently Asked Questions" section of this page regularly for updated help.

Help materials that come with the application, accessible through the help menu:

- The FY 2002 Annual Report Guidance, PPC's official instructions for how to prepare this year's Annual Report.
- A mock CBJ submission for the fictitious country of Freedoni.
- Sample indicator table for Freedoni.

Introduction and overview

Your work in the Annual Report Budget Application will consist of entering budget data into forms that have the look and feel of previous year's resource request Microsoft Excel spreadsheets. The application also automates the process of transmitting the budget data to Washington.

The steps one would typically take to prepare the budget resource request data via the application are as follow:

1. Launching the application
2. Entering the budget data into the budget tables
3. Adding new SOs if needed
4. Proofing and Review
5. Viewing/Printing
6. Transmission

What's new

This year's application handles the budget resource request data only. Data is entered into the table forms that have basic look and feel of Excel spreadsheets. Drop down menus allow one to choose the fiscal year and appropriation combination in the budget request by program/country table.

Key features:

Budget data is entered only once into the application. This data is used to generate both the Congressional Budget Justification budget data and the resource request data once it is received back in Washington.

Automated transmission of data to Washington.

Installation

System Requirements

To run the application, you'll need the following:

1. Pentium grade PC or better w/ Windows 95, NT, 98, or 2000. (At this time Windows XP and Office XP will not be supported by this application).
2. 10 Mb free disk space on a local drive, if running the stand-alone version; 7 MB on local drives if running the network version.
3. 64 Mb of RAM (minimum)
4. MS Office 97 (Service Release 2), Office 2000

5. Email connectivity (for automated transmission feature)
6. A LAN connection (optional, for use with multiple users)

Installation instructions

About the install instructions

Instructions are being provided to each Operating Unit's system administrator. If you have any questions regarding the installation on a stand alone workstation or in a client-server configuration on a LAN please see your system administrator.

Installing Microsoft MDAC files

The Budget Application requires version 2.1 or later of the Microsoft Data Access Components to run. Most Office 97 installations will have these files already. If the files are not present, you'll get an application error when you attempt to launch the application. These files are available to system administrators via IRM in AID/W.

Using the application

A note about sources and accuracy

The SO numbers and names that come with your application are the same SO numbers and names that were submitted to PPC/CDIE for use in CDIE's R4 database last year. Strategic Objective numbers and names reflect what was in last year's R4 submission, unless updated by an AID/W regional bureau. Every effort has been made to ensure that what you get in the FY 2002 application is accurate. However, you do not need to use all SOs that are listed in the SO list. If a SO name is incorrect you can edit that name from the main menu ONLY.

To ADD an SO that has existing obligations and expenditures, be sure to add it from the US FINANCING Table. For a new SO without FY 2000 or FY 2001 obligations or expenditures, ADD it from the BUDGET REQUEST by Program/Country Table.

We recommend that you carefully review the data included in your application to ensure that all objectives are present and accounted for. You can add new SOs from the US Financing Table and the Budget Request by Program/Country Table if necessary.

Step One: Launching the application

Double click on the application icon the installer placed on your desktop. This should be called FY2002 Annual Report. The application will open with a list of budget tables, starting with US Financing on the left hand side; and a list of the SO numbers and names which are included for your operating unit on the right hand side. The list of SO **names** displayed on the right can be changed if necessary; the SO numbers cannot be changed.

Menus
There are three tabs at the top of the application. They are: “1. Resource Request”; “2. Email Budget Request”; and “3. Review Guidance”. All budget data entry is done in the first tab, “Resource Request”, which is the menu which appears on your screen when you open the application. Tab 2, Email Budget Request, should **only** be used when all budget data is completed and ready to be returned to AID/W. Tab 3 has been included to assist you in reviewing the Annual Report guidance which was made available to all operating units.

Above the three tabs is a tool bar with some standard menu selections. They are:

File
The file menu contains only the Exit command to quit the application. NOTE: EXIT only closes the Annual Report Application, not any MS Word or Excel sessions you might also have running concurrently.

Edit
The edit menu contains the usual Cut, Copy and Paste commands.

Reports
The Reports menu allows you to change the type of report generated from the “View” button within any of the tables. The report format is set to Excel by the application, but can be changed by the user to Microsoft Word, or Rich Text Format, .rtf, a plain text format.

Help
The help menu displays the current version of the Annual Report Application you are running. If any problems are encountered with running the application, your system administrator may need to send this information to AID/W.

Step Two: Entering budget data

Working with budget tables

In general, within any of the tables, once you have entered a number in a cell in a table, be sure to either use the Tab key, the mouse or the Arrow keys to move from that cell in order for the application to save that number and to calculate or recalculate total figures. Unfortunately, hitting the **ENTER** key after inputting data **WILL NOT** save that data; you must physically move out of the cell using the TAB key or the mouse in order for the data to be saved in the cell.

- **US Financing**

This table appears with each Data Sheet in the CBJ. Operating Units are requested to fill out the top portions (reflecting actual obligations and expenditures) before completing any other table, as information here will feed into the Budget Request by Program/Country table below. Bottom portions of the U.S. Financing table, in turn, will be filled in automatically from the Budget Request by Program/Country table.

1. Enter obligations, expenditures and carryover values for SOs

Select an SO, enter obligations and expenditures at the top of the table, and carryover values in the cells marked "Prior Year Unobligated Funds." Switching between SOs or closing the table will save your changes. If the SO list provided does not contain the SO you need, use the "Add SO" button to add it. Be sure to add SOs that have obligations and expenditures **from this table ONLY.**

2. Enter Request Levels in Program Table

Start **first** in the US Financing table to enter values for all SOs. When values for all SOs have been entered, close the US Financing table and move to the Budget Request by Program/Country table from the main menu. The entries made in the previous step will be reflected in the "Starting Pipeline" and "Carryover" columns in this table. Enter request levels for each fiscal year/appropriation. See the Program table help for specifics.

3. Reenter the US Financing form and enter Future Obligations

Values for 2002 Current and 2003 Control will be populated based on entries made in the program table. Enter Future Obligations for each SO on the bottom of the table.

1. FY 2000 and FY 2001 Data

Historical data for FY 2000 and FY 2001 can be entered ONLY through the US Financing Table. You will not be able to Add or Remove SOs for FY 2000 and FY 2001 from the Budget Request by Program/Country Table since this is considered to be historical data for which SOs should not be added or removed.

- **Budget Request by Program/Country**

Breaks out each SO by the Agency's goal/strategy areas including splits between bilateral and field support requirements. These tables must be filled out for each of FYs 2000 to 2004 and should reflect actual appropriated levels, or request levels, as appropriate. Separate years and accounts are generated using drop-down menus, including an FY 2003 alternate options for those bureaus that use that breakdown. Separate but linked subdirectives tables have been added for Economic Growth, Agriculture & Trade Capacity (EGAT), Global Health; and Democracy, Conflict & Humanitarian Assistance (DCHA). The starting pipeline column on the FY 2002 table must agree with the end of FY 2001 pipeline data, as reflected in the FY 2003 Budget Justification tables, or the latest CN. Operating Units are reminded that field support is considered to be fully expended in the fiscal year following obligation. Hence, only FY 2001 obligated field support would be reflected in the FY 2002 starting pipeline data. When Operating Units request program funds for each SO, the level requested should include estimated/anticipated program funded ICASS costs. Regional Bureaus are also reminded to request funds accordingly when preparing regional SO submissions where annual program ICASS requirements are not met through bilateral programs.

1. Select the fiscal year and scenario

Two drop down boxes at the top of the form display the currently selected fiscal year and appropriation. Each combination of these values corresponds to a single sheet in the program budget request spreadsheet that has been used in the past. To change the "sheet", use the dropdown boxes to select the combination of fiscal year appropriation with which you wish to work.

2. Enter Request Levels

Enter request level amounts as you would in a spreadsheet. All values entered are automatically saved.

3. Complete necessary program category forms

When you enter values for EGAT, Health, or DCHA, you will need to fill out "Pillar" forms. Bring these up using the "EGAT", "Health" and "DCHA" buttons on the top left of the form. The totals on the sub-directive forms must equal the totals from the program request table. When the totals on the sub-directive form do not equal the totals on the main table, the total will appear in red. If you attempt to close out of this table without the totals matching, you will receive a message stating, "Values must match those on the summary table before this table can be closed". Once the totals match, the total in red will change to black and the table can be close.

4. Add New SOs to the fiscal year/appropriation

When pipeline or carryover data is entered on the US Financing screen for SOs, the SO will appear on the Program table, so you will not need to add them. New SOs for which there is not pipeline or carryover data can be entered through the program table using the "Select SOs" button. Select the SO(s) you wish to add, and hit the "Select SOs" button. You will then be able to enter budget requests for that SO on the program table. If the new SO is not on the master list, you can add it through the "New SO" button.

5. Select SOs/Remove Sos

The "Select SOs" and "Remove SOs" buttons which appear on the top right hand corner of the Budget Request by Program/Country Table will only function when a fiscal year for 2002 or greater is selected from the drop-down menu. Be sure to add any new SOs from the "Select SOs" button for new SOs for which there is no pipeline and carryover data.

NOTE: The PL 480 appropriation is handled differently than the others. It is not included on the US Financing form, so all budget information is entered on the program table. Select "PL 480" and the appropriate year and a box will appear at the bottom of the screen. You can either enter the PL 480 amount for the year, or select SOs if you would like to break down PL 480 money by SO. If you have questions about which route to take, consult your bureau.

- **Workforce Planning**

USDH Staffing Requirements:
Show the numbers of USDH in each occupational backstop expected by end of year FY 2002 and requests for end of FY 2003 - FY 2005. The purpose of this table is to enable the Agency to make the necessary recruitment decisions to ensure we have the right mix of skills on board. Therefore requested levels should be what the Mission reasonably expects to have on board given budget realities. These data are necessary and significant in the development of the FY 2003 Foreign Service recruitment plan as they tell what the skill needs are. For all years, but especially for out-years, the requests should match the position requirements without regard to the backstop of the current incumbent.

GDO positions should be listed under the backstop that reflects the primary discipline of the position. RUDO positions are covered under Backstop 40. It is crucial that each Mission Director consider what work needs to be done and what skills are needed to do it rather than the backstops of the people they currently have or expect to have. In addition, if you have positions that you do not expect to be filled, please do not include them. The sole purpose of this table is to inform the FS recruitment process; it is not used in the assignment or FTE-allocation processes.

Non-USDH Staffing Requirements:
Show the number of non-USDH by category and the occupational backstop that most closely reflects the work being done. In order for the Agency to do effective workforce planning it needs to know the staffing requirements in toto, not just USDH staffing requirements. It is crucial that each Mission Director consider what work needs to be done and what skills are needed to do it rather than the backstops of the people they currently have or expect to have. In addition, if you have positions that you do not expect to be filled, please do not include them. Remember that for all years, but especially for out-years, the requested levels should match the position requirements without regard to the skill area of the current incumbent.

1. **Entering Data**

Enter workforce levels for fiscal years 2002 – 2005, using the dropdown box on the top left to switch years. All entries will be saved automatically.

- **Operating Expenses – Overseas**

Show the proposed use of OE and trust fund resources by resource category for the FY 2002 estimate, the FY 2003 target, and the FY 2004 request levels. For overseas OE tables, identify the U.S. dollars used for local currency purchases and the exchange rate used in computations. Please note that we intend to establish a more direct and rational link between operating units' program funds and operating expenses (including staff). The allocation of OE resources frequently does not correspond to changes in program allocations. Operating units may wish to address such inconsistencies.

1. **Entering Data**

The table for OE Overseas is modeled after the spreadsheet that has been used in the past. Phoenix codes and titles are listed along the left, and space is provided to enter OE and Trust Fund amounts for 2002 Estimate, 2003 Target, 2004 Target and 2004 Request.

Phoenix lines marked with an asterisk are summed at the bottom of the table. Check to ensure that these values match those for OE funded deposits on the FSN Voluntary Separation Fund Table.

- **Operating Expenses – Washington**

Show the proposed use of OE and trust fund resources by resource category for the FY 2002 estimate, the FY 2003 target, and the FY 2004 request levels. For overseas OE tables, identify the U.S. dollars used for local currency purchases and the exchange rate used in computations. Please note that we intend to establish a more direct and rational link between operating units' program funds and operating expenses (including staff). The allocation of OE resources frequently does not correspond to changes in program allocations. Operating units may wish to address such inconsistencies.

1. **Entering Data**

The table for Operating Expenses - Washington is modeled after the spreadsheet that has been used in the past. Phoenix codes and titles are listed along the left, and space is provided to enter amounts for 2002 Estimate, 2003 Target, 2004 Target and 2004 Request.

- **ICASS Reimbursement Table**

This table should be used by overseas operating units that are/or will be an ICASS service provider. This table should reflect the amount that the Agency will be reimbursed for the services that are provided. Include costs associated with providing support to OE funded operations, USAID program operations and to other customer agencies on post. Please note that the first line of the Table is for Washington Funded Salaries and Benefits.

Report in the Operating Expenses Table, under the ICASS line item, the sum of estimated OE ICASS charges payable to the Department of State as well as the estimated costs for ICASS services provided by the mission to OE funded operations.

1. **Entering data:**

Please note that the first line of the ICASS Table is for Washington Funded Salaries. Operating Units should report here the portion of the Executive Officer's salary as well as that of other USDH staff that provide ICASS services. Do not include benefits in this line item as the Support Budget office will compute this cost based on agency-wide averages.

- **Trust Fund and FSN Voluntary Separation**

This is used only by overseas missions and shows a) availability of local currency trust funds and b) deposits to and withdrawals from the FSN voluntary separation account. Please note that if an overseas unit shows obligations under object class 12.1 on the OE table for FSN voluntary separation (FSN direct hire or FSN PSC), then the FSN voluntary separation portion of this table must be submitted. The OE totals on this table must match the total FSN voluntary separation amounts for FSN direct-hire and FSN PSCs on the OE table. Also, exchange rates used in computing the dollar equivalent of local currency trust funds must be provided--this information is required to be included in the agency's Budget Justification.

1. Entering Data

This table is modeled after the spreadsheet that has been used in the past. Enter values and they will be saved automatically. Press the recalculate button to update totals.

- **Controller Operations**

This is in the same format as the overseas OE table, but is to reflect only those costs associated with the office of the controller at overseas missions.

1. Entering Data

The Controller Operations table is modeled after the spreadsheet that has been used in the past. Phoenix codes and titles are listed along the left, and space is provided to enter Dollar and Trust Fund amounts for 2002 Estimate, 2003 Target, 2004 Target and 2004 Request.

Step Three: Document proofing and review

Preparing electronic and paper-copy drafts for review

Drafts and versioning issues

The application's ability to compile and print the tables at any time makes it easy to distribute hard copy or electronic versions for review purposes. It's vital, though, to make sure that the version of the table in the application is amended to reflect any changes made in these stand-alone draft versions.

For example, if you were to produce a draft spreadsheet and then gave that file to a colleague for review. Your colleague made some changes in that draft file or on a printed copy of that file. The draft file is now out of synch with the application. Any edits made to the table would not be reflected in the application until you went back to the application and keyed the changes from the draft file into the table.

For this reason, you need to be very careful in distributing draft versions of the tables, and make sure that the version in the application is the one that reflects all changes and edits.

Step Four : Transmission of completed Budget Data

The application greatly simplifies the process of transmitting the budget data to Washington. If your unit has moved to Microsoft Outlook as its email client, then the transmission process is almost completely automated. Users of Beyond Mail will have to work a little harder, but it will still be much easier than in previous years.

Where to send it
The application will automatically send the budget data to the Development Experience Clearinghouse (DEC). The DEC will put together all budget data for each region and transmit it to the appropriate AID/W bureau staff.

How to transmit your Budget Data to Washington:

Click on the tab labeled "Email Budget Request"and select your email system from the menu (the choices are Standard Email, and Banyan Email). If you are not using Banyan/Beyond Mail, select Standard Email:

Standard Email:

1) Once you select Standard Email from the menu, the application brings up a new email form. You'll need to fill in the following**:** **<u>your email address</u>** in the **"<u>From</u>**" box. The application automatically fills in the subject line and attaches the necessary file.
2) Click the send button. Once you have confirmed that the email is ready to be sent and hit the o.k. button, the email message and attachment will be sent, and you will automatically be exited from the application

Banyan/Beyond Mail Email

The application brings up a blank email form. You'll need to fill in the following:

1) To: Please enter: ARAPP@dec.cdie.org
2) Subject: Please enter: Annual Report Budget Application **–** [**your country name**]
3) Attach: You'll also have to **<u>manually</u>** attach the following file from your Ar2002 directory. The location and file name for that file is: Ar2002/db_data/Ar2002db.mdb. (Please contact your system administrator if you do not know on which drive this directory resides.)
4) Click the send button. Once you have confirmed that the email is ready to be sent and hit the o.k. button, the email message and attachment will be sent, and you will automatically be exited from the application.